

COPY OF PAPERS
ORIGINALLY FILED

00P10016:VOW:1587257kg

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:)	
)	
Kaoru Kagami, et al.)	Before the Examiner
)	(not yet known)
Serial No. 09/901,307)	
)	
Filed July 9, 2001)	Group Art Unit 2874
)	
OPTICAL FILTERING MODULE AND)	
OPTICAL DEVICES USING SUCH)	
OPTICAL FILTERING MODULE)	February 19, 2002

RESPONSE TO NOTICE OF MISSING PARTS

Honorable Assistant Commissioner
for Patents
Washington, D. C. 20231

Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on:

Date of Deposit: FEB. 19, 2002

Name of Registered Representative: Vincent O. Wagner

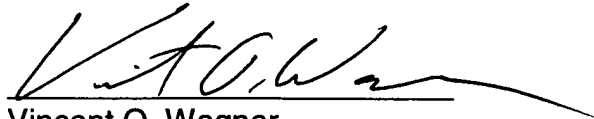
Signature: V. O. Wagner

Date of Signature: FEB 19, 2002

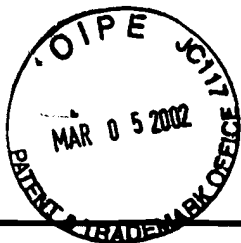
In response to the "Notice to File Missing Parts" having a mailing date of August 24, 2001, Applicants hereby submit an executed Declaration and Power of Attorney for the Patent Application and a check in the amount of \$1,570.00 for the surcharge of \$130.00 under 37 CFR §1.16(e) and the charge of \$1,440.00 for an extension for reply within the fourth month. The return copy of the Notice is also enclosed.

The Commissioner is authorized to charge any deficiencies or credit any overpayments to Deposit Account No. 23-3030, but not to include payment of issue fees.

Respectfully submitted:

A handwritten signature in black ink, appearing to read "V. O. Wagner", is written over a horizontal line.

Vincent O. Wagner
Reg. No. 29,596
Woodard, Emhardt, Naughton
Moriarty & McNett
Bank One Center Tower
111 Monument Circle, Suite 3700
Indianapolis, Indiana 46204-5137
(317) 634-3456



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00P10016:VOW:158720/nkg WENMM/SB/21 (12/00)

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/901,307
Filing Date	July 9, 2001
First Named Inventor	Kagami, et al.
Group Art Unit	2874
Examiner Name	Not Yet Known

Total Number of Pages in this Submission

13

Attorney Docket Number

10110-5

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached \$1,570.00 #27978	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment Response (under 37 CFR §1.115)	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request (4-month)	<input checked="" type="checkbox"/> Declaration & Power of Attorney (3 pgs)	<input type="checkbox"/> Additional Enclosure (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	X Return Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	X Request for Corrected Filing Receipt and corrected copy of Official Filing Receipt.
<input type="checkbox"/> Certified Copy of Priority Documents	<input type="checkbox"/> Request for Refund	X Part 2 of Notice to File Missing Parts
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

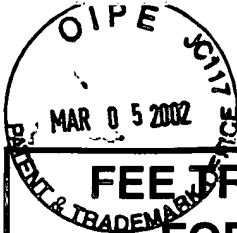
Firm or Individual Name	Vincent O. Wagner Woodard, Emhardt, Naughton, Moriarty & McNett
Signature	
Date	February 19, 2002

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Certificate of Mailing

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Assistant Commissioner for Patents, Washington D.C. 20231 on this date:

Typed or printed name	Vincent O. Wagner
Signature	
Date	February 19, 2002



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UOP10016:VOW:158682/nkg/WENMM/SB/17 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL FOR FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	09/901,307
Filing Date	July 9, 2001
First Named Inventor	Kaoru Kagami, et al.
Group Art Unit	2874
Examiner Name	Not Yet Known
Attorney Docket Number	10110-5

Total Amount of Payment (\$1,570.00)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 23-3030

Deposit Account Name: Woodard, Emhardt, Naughton, Moriarty & McNett

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION (continued)

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	1,440.00
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other Fee (specify) _____					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$1,570.00)

FEE CALCULATION

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility Filing Fee	
106	330	206	165	Design Filing Fee	
107	510	207	255	Plant Filing Fee	
108	740	208	370	Reissue Filing Fee	
114	160	214	80	Provisional Filing Fee	
SUBTOTAL (1)					(\$)

2: EXTRA CLAIM FEES

Total Claims: -20** =

Independent Claims: -3** =

Multiple Dependent

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

**or number previously paid, if greater; For Reissues, see above

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MAY 15 2002
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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Vincent O. Wagner	Registration No. (Attorney/Agent)	29,596
Signature		Telephone	(317) 634-3456
		Date	February 19, 2002

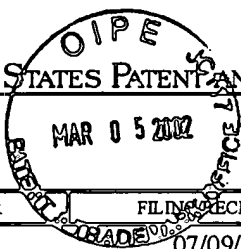
Warning: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 202031.



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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/901,307	07/09/2001	Kaoru Kagami	10110-5

CONFIRMATION NO. 7761

FORMALITIES LETTER



OC000000006467812

Vincent O. Wagner
Woodard, Emhardt, Naughton, Moriarty and McNett
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, IN 46204-5137

Date Mailed: 08/24/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The oath or declaration is unsigned.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/08/2002 BNGUYEN1 00000120 09901307

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130.00 OP